

Department of Personnel & Administration

Division of Human Resources

Onsite Audit

Reviewer Checklist for Contracts/Purchase Orders/Solicitations

Pre-Qualifying Questions

Does the request require personal services review? If no, move on to the next request.

If yes, was it reviewed and approved prior to finalizing the contract/purchase order?

For pilot purposes, was the request processed prior to October 1, 2003?

Does the request fall within the agency's program waiver? This includes contract amendments and modifications.

If the request didn't fall within the waiver, was a certification form completed?

Does the request:

Have a corresponding certification form attached?

Have a corresponding certification signed by an HR professional?

Have all questions been answered completely or are some left blank?

If necessary, is there additional documentation attached to explain or answer the questions?

Is the scope of work adequate to determine the type of personal service?

Fall within a service that can be delivered by another state program?

If so, was a prior-approval or waiver obtained from the program? If not, why not?

Identify if classified staff has performed the service?

If so, is the justification for contracting out the service reasonable?

Identify contractor as former employee, if applicable?

If so, does this comply with 24-18-201?

Have approvable criteria been identified and is it the correct criteria, when needed?

If needed, is there documentation justifying the criteria?

Have a pre-approval letter attached indicating the solicitation had pre-approval from the proper entity?

If not, does the service fall under the program waiver and is that indicated/documented?

Procurement Peer Review Tentative Agenda

9:00 – 9:30 In-Briefing – Separate Sessions

Purchasing - Introductions; Previous Findings and Updates
Scope of Peer Review
Clarifications about Pre-Review Materials, e.g., File Organization

Human Resources - Introductions; Scope of Review
Clarifications about Pre-Review Materials, e.g., File Organization

9:30 – 12:00 Review of Previously Selected Purchase Orders/Procurement & HR Files

12:00 – 1:00 Lunch

1:00 – 3:00 Spot Selection and Review of Purchase Orders/Procurement Files
Review of Previously Selected Contracts/HR Files

3:00 - 4:00 Out-Briefing

Significant Findings
Highlighted “Good Practices”
Key Recommendations, including risk assessment
Other Questions and Answers:

- How can SPO/DHR provide additional support?
- What challenges are you facing in the next two years?
- Delegation/Pilot Update? From SPO/DHR to Agency
 1. Manual Discussion
 2. Copy of Delegations (internal) from Purchasing Director to buyer

Note: Subject to change depending on scope of audit.

Personal Services Review Preliminary Questionnaire

HR Review and Policies

Agency/Institution _____

Reviewer _____ Date _____

1. Who in the department is responsible for the review and approval of personal service contracts? Please list all individuals who perform this function.

- a. Are they certified or on their way (completed PCP Level I at a minimum)? Please distinguish those certified or on their way.

- b. What is the average or goal for turn around time for reviewing personal services request (purchase orders, contracts, and solicitations).

2. Are there written department policies for the personal services review process? ____y
____n Please provide copies of any written documentation.

- a. How are these policies communicated throughout the department?

b. How is information shared between accounting, purchasing and human resources?

c. Are there established regular meetings to discuss issues or policies? ____y ____n
Please explain.

3. Is there department wide staff training available on personal service policies and procedures? ____y ____n

a. If yes, how often do these sessions occur?

b. Please provide a copy of the training materials, if available.

4. What is the process for maintaining personal services documentation, i.e. certification forms, waivers, prior approvals, etc.? If available in writing please provide.

5. Is there an internal tracking mechanism for independent contractors? __yes __no
If yes, please explain and provide a sample report.

a. Does the report identify all individuals working under contract? __yes __no

- b. If your department does not use EMPL for tracking state temporary employees, please provide a report of all state temporary employees for the past fiscal year with names and dates of employment.
6. How percentage of your department's budget is spent annually on temporary services?
_____ %
7. Who is responsible for tracking/maintaining the personal services annual report? Please list all individuals responsible.
- _____
- _____
- _____
- _____
8. Please provide a list of all personal services contracts entered into beginning July 1, 2002 to June 30, 2003.
8. From a statewide perspective, what could be improved with the personal services contracts program?
- _____
- _____
- _____
- _____
- _____
- _____
- _____

